

Payment Request Usage List

PURPOSE

To identify specific commodities for which a Payment Request form may be completed and submitted to Payment Services' Specialty Team for payment processing. Note: When accepted by the payee, a P-Card may be used in lieu of a Payment Request form. Note that this list is to describe when a Payment Request is applicable.

APPLICABILITY

Regardless of dollar value, a Payment Request form is used for certain types of commodities for which a formal purchase order is not required or where negotiation by Purchasing Services adds no value. **Commodities not identified on this Usages List must be processed via a Supplier After the Fact Form (TechMart), Employee Reimbursement Request (TechMart), Pcard or Travel Expense Report if related to a trip.**

CONDITIONS & RESTRICTIONS

Certificate of Insurance: Any payee or its employee(s) that will provide a service to the Institute – on Caltech property – must provide, at their own expense, a certificate of insurance that must meet Caltech's insurance requirements and name Caltech as an additional insured. Reference section 13 (Insurance) of Section 1 – Commercial Items or Services Contract General Provisions at: <http://procurement.sites.caltech.edu/departments/purchasing/purchasing-policies-procedures>

- **Reportable Payees:** Any payee/payment reportable under IRS regulations will require review for possible inclusion in 1099 reporting at year end. These are generally individuals or sole proprietors. Employees are discouraged from paying these individuals directly with their own personal funds and later requesting reimbursement from the Institute. Doing so creates an “intermediary” payer situation. Instead, payments to individuals should be completed by the Institute to the individual directly. This preserves a clear 1099 reporting relationship. Employees may use their P-Card for these types of payments as the bank will administer 1099 reporting.
- **Contractual Relationships:** When payment commits the Institute to a contractual relationship, the contract must be reviewed and signed by the Purchasing Services Department.

Other restrictions/exceptions may apply. For questions, please call the Procurement Services Hotline at (626) 395-8900

PAYMENT REQUEST CATEGORY	DESCRIPTION
Artist Fees and Performers	Bands, singers and other performers, their agents, coaches, actors/actresses, human models, producers, rehearsals, musical arrangements, scores. Exclusions: Excludes security for events which requires a Purchase Order.
Apparel & Personalized Safety Gear	Uniforms: Custom fitted or personalized uniform apparel. This includes personalized uniforms, such as restaurant wait staff smocks, jackets, chef uniforms, safety uniforms, hospitality and maintenance services uniforms, personalized lab coats, etc. Athletic Apparel: Custom fitted or personalized athletic apparel, shoes, protective athletic equipment, and supplies used by individuals in athletic competition and instruction. Safety Gear: Safety shoes, prescription safety glasses and any other required safety apparel for which a person has to be personally fitted. Exclusions: Promotional clothing such as logo t-shirts, hats, scarves, jackets or other promotional materials which may be custom made but not custom fitted to an individual. Also excludes professional uniform cleaning services. Use a Purchase Order.
Athletic Officials	Referees, timekeepers, game officials, etc.
Bank Loan, Interest and Bond Payments (Finance Use Only)	Payments to Financial Institutions for Institute loans, interest and bonds.

PAYMENT REQUEST CATEGORY	DESCRIPTION
Caltech Clubs /Affiliation Support	Payments to internal Caltech affiliated clubs and organizations.
Catering Services	Payment to a company or an individual providing food, drink and food service. Typically at social events and in a professional capacity. Exclusions: Not applicable to federally funded projects. A Purchase Order is required for federally funded projects.
Child Care (limited policy)	Tax reportable reimbursement for childcare costs for professorial faculty while on travel on Caltech business, as approved by the Division Chair. Limits apply. See detailed policy at: https://hr.caltech.edu/documents/147-faculty_travel_on_cit_business.pdf
Contribution/Donations	Payment & donations to and financial support for reputable charitable organizations such as Pasadena Chamber of Commerce, Pasadena Police Foundation, United Way, Boys/Girls Clubs, American Red Cross, etc. A charitable organization is one that is organized and operated for purposes of benefit to the public interest and recognized as exempt under section 501(c) of the Internal Revenue Code.
Financial Assistance for Students, Visitors, External Affiliates	Scholarships, stipends, living allowances. Exclusions: Some restrictions may apply. Individual payments will require review to determine applicability and possible tax reporting requirements.
Food & Refreshments, Break Room Supplies	Refreshments, food, break room supplies (coffee, tea, drinking water, sugar, paper goods, cups, cleaning supplies, etc.) Delivered bottled drinking water, cooler rental & related supplies. Coffee and Tea equipment rental and related supplies. Exclusions: Specifically excludes meals while on travel status. Please submit on a travel and expense report.
Freight and Shipping	DHL Express, FedEx, United Parcel Service (UPS), United States Postal Service (USPS), trucking and freight services, etc. Employee's reimbursement for authorized expenses paid for by the employee on behalf of Caltech. Authorized commodities are outlined on this Payment Request usages list. Purchases outside the commodities provided for on this list will require a Purchase Order.
Gifts	Payments for nominal gift offerings, floral arrangements, plants, lunches, treats, snacks, etc. awarded to employees for the purposes of recognition, to increase morale, celebrate milestones, etc. Exclusions: Limits apply. Cash or gift cards are reportable to the recipient regardless of dollar value. For all other individual tangible gifts, contact Human Resources for any item exceeding \$75.00 in value which is reportable under IRS regulations.
Ground Transportation	Includes taxi, public transportation & car service for local outings. Exclusions: Transportation while on travel status (car rental, airport shuttle, etc.) Please report this on a Travel Expense Report. Excludes chartered bus or vans which requires a Purchase Order.
Honoraria	Ex gratia payments for an individual's participation as a guest speaker or panelist which are not part of a consulting agreement. An honorarium is a payment made without Caltech recognizing itself as having any liability or legal obligation made to a person for their services provided in a volunteer capacity or for services which fees are not traditionally required. See Honorarium Policy: https://procurement.caltech.edu/departments/policies-procedures
Human Subjects	Fees paid to participants of scientific testing and studies.

PAYMENT REQUEST CATEGORY	DESCRIPTION
Instruction Fees (for CTME)	Fees paid to The California Institute of Technology Center for Technology and Management Education (CTME) contracted instructors to provide services such as teaching workshops and training.
Insurance Premiums and Benefits (HR and Payroll use only)	Insurance and Benefits payments to Institute providers.
Legal Services	Required payments to legal organizations by the Office of Technology Transfer (OTT), the Office of the General Counsel (OGC) and International Scholars Services (ISS).
Licenses and Permits	Licenses (artwork usage, business operating licenses, branding/trademark, liquor, patent, television and broadcasting, Caltech commercial vehicles) permits, immigration fees and other governmental fees.
Medical and Physician Services	Required payments for immediate medical treatment rendered. Includes employee drug screening, workers compensation clinics, employment related physicals, vaccinations, etc. Excludes: Payments for medical insurance premiums, reimbursement of medical insurance coverage. Contact Human Resources.
Meetings & Conferences	Costs associated with on-campus and/or local meetings & conferences, including registrations, parking, etc. Note: Office supplies purchased for meetings and conferences should be placed through TechMart.
Membership Dues	Payments to external organizations to establish professional networking groups, association or goodwill alliance. This includes associations such as the Chamber of Commerce, Better Business Bureau, CPA's, etc.
Mileage Reimbursement	Requests for mileage reimbursement which include local meetings/recreational events. Exclusions: Requests for mileage - \$100.00 or less should be obtained from your petty cash custodian. Claims of \$100.00 or more, submit on a Travel Expense Report.
Petty Cash	Payments to Petty Cash Custodian including set-up and replenishment of petty cash funds.
Postage	Replenishment and reimbursement of U.S. postage.
Prizes and Awards	Recognition based on competition, achievement, performance or other noteworthy or exemplary criteria.
Recreational Activities/Entertainment	Amusement, diversion and social activities, including shows, dances, concerts, sporting events, firework displays, etc. Exclusions: Not applicable to federally funded projects. Use a Purchase Order.
Refunds	Returning funds previously received by the Institute to external organizations or individuals.
Relocations and Moving Expenses	Payments made directly to a third party or employees for moving and relocation expenses.
Royalties	Office of Technology requests for payments relating to patents, other payments related to copyright materials.
Subscriptions (Magazines, Newspapers)	Individual (personal) paper and digital versions of magazines, periodicals, journals, newspapers. Exclusions: Caltech institutional library and associated digital subscriptions and software licenses necessary to operate library services on campus requires a Purchase Order.
Taxes	Payroll taxes, property and sales taxes paid to Federal and State agencies.
Tuition (HR use only)	Approved employee tuition payments (HR Tuition Reimbursement Program).
Utilities	Caltech business related cable, satellite, internet, DSL, gas, electric, municipal water (DWP), telephone (land and cellular) services and gasoline credit cards (Shell, Mobil, Chevron, etc.) either paid directly to the provider or reimbursed to an employee. Exclusions: Bulk fuel and compressed gas purchases which require a Purchase Order.
Visiting Faculty Support	Payments to external organizations for salary and/or benefits of visiting non-employee faculty at Caltech.